

DOCUMENT MODIFICATION REQUEST (DMR)

PAGE 1 of 1

Refer to 1-A01-PPG-001 for Processing Instructions.
Print or Type All Information (Except Signatures).

1. Date 04/20/95		25. DMR No. 95-DMR- 000323 <i>510</i>	
2. Existing Document Number/Revision 2-S65-ER-ADM-17.02 R/1		3. New Document Number or Document Number if it is to be changed with this Revision N/A	
4. Originator's Name/Phone/Pager/Location STEVEN RETUNDI X-8524 D-1280 080		5. Document Title Administrative Record Document Identification and Transmittal	
Document Type <input checked="" type="checkbox"/> Procedure <input type="checkbox"/> Other _____		7. Document Modification Type (Check only one) <input type="checkbox"/> NEW <input type="checkbox"/> INTENT CHANGE <input type="checkbox"/> EDITORIAL CORRECTION <input type="checkbox"/> REVISION <input checked="" type="checkbox"/> NONINTENT CHANGE <input type="checkbox"/> CANCELLATION	

8. Item	9. Page	10. Step	11. Proposed Modifications
1	4	Sect 1	Change "OWSER Directive 9833A-1" to "Directive 9833.3A-1".
	16	Sect 8	
2	11	6.3[6]	Delete "all".
	13	6.5[7]	
3	19	App 2	Delete sentence 4 "Notice of violation" from Regulatory Agency Involvement.
4	2		REVISE LIST OF EFFECTIVE PAGES

12. Justification (Reason for Modification, EJO #, TP #, etc.)

Corrections to the technical content of the procedure is necessary to maintain the quality of the administrative record process.

If modification is for a new procedure or a revision, list concurring disciplines in Block 13, and enter N/A in Blocks 14 and 15. If modification is for any type of change or a cancellation, organizations are listed in Block 13, then Concurrer prints, and signs in Block 14, and dates in Block 15.

13. Organization	14. Print, Sign (if applicable)	15. Date (if applicable)
EQS	<i>[Signature]</i>	4/21/95
ED	<i>[Signature]</i>	
PSE	<i>[Signature]</i>	
DMRS	<i>[Signature]</i>	
PS	<i>[Signature]</i>	
EDM	<i>[Signature]</i>	4/21/95
SPP	<i>[Signature]</i>	4/21/95
ALB-7	<i>[Signature]</i>	
LAGU/OD	<i>[Signature]</i>	4/21/95
GRD/OWS	<i>[Signature]</i>	4/21/95
EME	<i>[Signature]</i>	4-21-95

16. Originator's Supervisor (print/sign/date) Darlene Breen <i>D.G. Breen</i> 4/20/95				
17. Assigned SME/Phone/Pager/Location Lisa Stevens X-8671 X8503		18. Cost Center 2470	19. Charge Number 989891	20. Requested Completion Date 4/24/95
22. Accelerated Review? <input type="checkbox"/> Yes <input type="checkbox"/> No		23. ORC Review		
24. Responsible Manager (print, sign, date) Kaye Bentzen <i>K. Bentzen</i> 4-21-95				

RF-47940 (5/93) *Revised for final det. 4/21/95*

REVIEWED FOR CLASSIFICATION / UCNI

BY _____

DATE _____

A-SW-002280

Rocky Flats Environmental Technology Site

2-S65-ER-ADM-17.02

REVISION 1

ADMINISTRATIVE RECORD DOCUMENT IDENTIFICATION AND TRANSMITTAL

APPROVED BY: *S.G. Stiger* / S.G. Stiger / 3-26-95
 Director, Environmental Restoration Program Division Print Name Date
Charles H. Hayes for R.S. Luker / CHARLES H. HAYES for R.S. LUKER / 3.22.95
 Quality Assurance Program Manager, Data Management and Reporting Services Print Name Date

DOE RFFO/ER Concurrence on file: ☐ Yes ☐ No ☒ NAEnvironmental Protection Agency Approval Received: ☐ Yes ☐ No ☒ NAResponsible Organization: Environmental Restoration Program Division Effective Date: 4/20/95 *CHH*

CONCURRENCE BY THE FOLLOWING DISCIPLINES WILL BE DOCUMENTED IN THE PROCEDURE HISTORY FILE:

Data Management and Reporting Services
 Environmental Operations Management
 Group 1 OU Closure
 Industrial Area OU Closure
 OU 2 Closure
 OU 5, 6, 7 Closures
 Solar Pond Projects
 Records Management

USE CATEGORY 4

ORC review not required

The following have been incorporated in this revision:
 95-DMR-000090

This procedure supersedes procedure 3-21000-ADM-17.02, Revision 0.

Periodic review frequency: 1 year from the effective date

LIST OF EFFECTIVE PAGES

<u>Pages</u>	<u>Effective Date</u>	<u>Change Number</u>
1	4/20/95	
2	4/24/95	95-DMR- 000323
3	4/20/95	
4	4/24/95	95-DMR- 000323
5-10	4/20/95	
11	4/24/95	95-DMR- 000323
12	4/20/95	
13	4/24/95	95-DMR- 000323
14-15	4/20/95	
16	4/24/95	95-DMR- 000323
17-18	4/20/95	
19	4/24/95	95-DMR- 000323
20-22	4/20/95	

TOTAL NUMBER OF PAGES: 22

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1. PURPOSE

This procedure establishes and defines the requirements and responsibilities for the compilation and maintenance of CERCLA Administrative Record (AR) files and completed ARs in accordance with:

- OWSER Directive 9833A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions
- Rocky Flats Interagency Agreement (IAG)
- Rocky Flats Plant Policy 1-27, Administrative Record
- 1-F78-ER-ARP.001, CERCLA Administrative Record Program

2. SCOPE

This procedure applies to Rocky Flats Environmental Technology Site (Site) Environmental Restoration Program Division (ERPD) personnel and subcontractors performing work for the ERPD.

This procedure applies to all documents generated for, or utilized by ERPD.

This procedure addresses the following topics:

- Designation of Responsible Parties for the Selection of Potential AR Documents
- Selection of Potential AR Documents
- Identifying Selected Documents as Appropriate for the AR
- Transmittal of Selected Documents to AR Program
- Records Capture by AR Staff-Internal and External Records
- AR Document Review Lists
- Routine AR Document Types
- Review of AR files using the AR index
- Site Technical Administrative Record Review (STARR) Meetings
- Training

This procedure is a total rewrite and revision bars are omitted. This procedure supersedes 3-21000-ADM-17.02, Revision 0.

3. OVERVIEW

This procedure describes and defines the functions necessary for the compilation of AR files for CERCLA response actions. Under § 113 (j) of CERCLA, the judicial review of any issue concerning the adequacy of a response action is normally limited to the AR. For this reason, the AR must contain adequate documentation to explain and describe the decision process that leads to the selection of a particular response action. An AR includes not only the rationale for the selected remediation but must also document any courses of action which were considered, but ultimately rejected. The court will uphold the selection of the response action unless "the objecting party can demonstrate on the AR that the decision was arbitrary and

95-DMR-000323

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3. **OVERVIEW (continued)**

capricious or otherwise not in accordance with law.”¹

In addition to limiting potential litigation demands, § 113(k) requires that the AR act as a vehicle for public participation in selecting a response action. To allow the public full participation in the selection of a response action, the AR should be a contemporaneous record with documents being compiled as they are generated or received.

In addition to documents that describe the selection of the response action, the AR must also contain documents that reflect the participation of the public in the selection process and the agency's consideration of the public's concern. If the lead agency does not provide an opportunity for involvement of interested parties in the development of an AR, persons challenging a response action may argue that judicial review should not be limited to the AR.

The site ARs are developed by proceeding through the following steps:

- Selection of potential AR documents by Subject Matter Experts
- Approval of documents by the Department of Energy, Rocky Flats Field Office (DOE, RFFO)
- Maintenance and Distribution of AR files by AR staff
- Examination and Approval of AR files at a STARR meeting before the file is closed with the signing of the decision document (e.g., Record of Decision)
- AR files become permanent AR documents can no longer be added

At this site, AR documents are submitted to the ERPD Project File Center (PFC) for processing before they are included in the AR files. This ensures that site records acceptance criteria are met and allows AR documents to be retrieved from the PFC without disturbing the official AR files which are stored in a limited access area.

The result of this procedure is the receipt of all potential AR documents by the AR Program for the compilation and dissemination of AR files and ARs for all ERPD CERCLA response actions.

4. **DEFINITIONS**

Administrative Record (AR). The body of documents considered or relied upon in selecting a CERCLA response action. The AR serves two primary purposes: 1) to limit judicial review of issues concerning the adequacy of a response action to the Administrative Record; 2) to provide a vehicle for public participation in selecting a response action.

Administrative Record (AR) Coordinator. Individual within the site ERPD assigned to oversee the compilation and maintenance of Administrative Record files and final Administrative Records.

¹42 U.S.C. § 9613 (j)(2) (1988 & Supp. 1993), Civil Proceedings - Administrative Record.

4. **DEFINITIONS (continued)**

Administrative Record (AR) File. A contemporaneously generated file comprised of documents that are considered to be relevant to the selection of a response action. An Administrative Record file continues to be managed as a file until the time of remedial decision approval, at which time it becomes an AR.

Administrative Record (AR) Index. An index which is generated as AR files are compiled to provide convenient access to the AR documents.

CERCLA. Comprehensive Environmental Response, Compensation, and Liability Act of 1980 as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA).

ERPD Project File Center (PFC). The ERPD facility where official, active ERPD records are collected, processed, protected, and maintained.

Individual Hazardous Substance Site (IHSS). Individual locations where a suspected incident of contamination occurred where the putative contaminant(s) are identified as hazardous under RCRA/CERCLA. Perceived IHSS boundaries and properties may evolve as sampling, research, and interpretation progress at a site.

Operable Unit (OU). Groups of IHSSs in a single management area.

Operable Unit (OU) Records Coordinator. ERPD staff assigned to particular OUs or activities to assist in the capture of documents for the PFC.

Record of Decision (ROD). A public document that explains which cleanup alternative(s) will be used for a specific project at National Priorities List sites. The ROD is normally based on information and technical analysis generated during the Remedial Investigation/Feasibility Study (RI/FS) and consideration of public comments.

Routine Document Type List. A DOE-approved listing of document types that are clearly appropriate for inclusion into an Administrative Record. Documents meeting the criteria of this list do not require additional approval to be added to an AR file.

Site Technical Administrative Record Review (STARR) Meeting. A meeting held immediately before the signing of a response action decision document (such as a the ROD) to review the Administrative Record file for completeness. STARR meetings should include representatives from the Environmental Protection Agency (EPA), the Colorado Department of Public Health and Environment (CDPHE), the DOE, RFFO, and the Site.

5. RESPONSIBILITIES

5.1 ERPD Director

Establish a CERCLA AR program.

Submit documents pertinent to his/her scope of work that he/she has determined is appropriate for inclusion in the AR files to the AR Coordinator as described in this procedure.

5.2 ERPD Program Managers

Designate individuals within their area of responsibility to select and transmit potential AR documents to the AR Program.

Ensure that their employees submit appropriate documents to the AR Coordinator as described in this procedure.

Ensure that appropriate ERPD personnel receive the necessary training in CERCLA AR requirements.

5.3 ERPD Managers and Designated Personnel

Submit documents pertinent to their scope of work that they have determined are appropriate for inclusion in the AR files to the AR Coordinator via the OU Record Coordinator as described in this procedure.

Provide OU-specific technical information and scheduling information to the AR Coordinator to assist in the selection of potential AR documents.

Review listings of potential AR documents and list their assessment as to the relevance of these documents for the AR files.

Participate in STARR meetings for response actions as appropriate.

Review the contents of the AR files for their OUs/Projects on a regular basis and notify the appropriate AR Specialist of any perceived deficiencies.

Notify the AR Coordinator of any pending public comment period at least two months in advance. This period of notification may be modified for accelerated actions.

Attend the AR CERCLA Requirements and ERPD AR Process training.

5.4 ERPD OU Records Coordinators

Ensure that documents submitted for the AR files are properly identified with a completed cover sheet as described in this procedure.

5.4 ERPDU Records Coordinators (continued)

Ensure that documents submitted for the AR files include two copies of each document (one copy for the AR and one copy for the PFC).

Ensure that documents submitted for the AR files are complete, or include a written explanation of the deficiency.

Ensure that documents submitted for the AR files are submitted to the PFC for processing.

Attend the ERPDU AR Process training.

5.5 ERPDU Project File Center Personnel (functional title)

Ensure that one copy of each document submitted for the AR files and accepted by the PFC is transmitted to the AR staff with the accompanying cover sheet after the document has been bar coded.

Ensure that one copy of each document submitted for the AR files which is not accepted by the PFC is transmitted to the AR Coordinator with the accompanying cover sheet.

Ensure that all records appearing in the PFC database which are indicated as potential or actual AR documents are retained.

Attend the ERPDU AR Process training.

5.6 ERPDU Administrative Record Coordinator

Ensures that documents received from the appropriate contractor personnel are submitted to the DOE, RFFO for AR approval. Documents meeting the Administrative Record Routine Document Type List will be added to the AR files without requiring additional review.

Ensures that contractor documents receive all appropriate classification reviews before being made available to the public.

Ensures that DOE-approved documents are placed into the AR files and distributed to the public repositories as specified by the IAG.

Participates in all STARR meetings.

Ensures AR required training is made available to all ERPDU personnel.

Contacts the DOE RFFO, EPA, and CDPHE to obtain necessary documents for the AR files.

Provides a vehicle to permit convenient review of the contents of AR files by OU Managers and designated ERPDU personnel.

5.6 ERPD Administrative Record Coordinator (continued)

Ensures that an AR Specialist is assigned to support every ERPD managed CERCLA response action. In most situations, these response actions will be organized by the OU or the project.

5.7 ERPD Administrative Record Specialists

Ensure the AR Coordinator is notified of any significant omissions in the AR files for which they are responsible.

Review documents outside the submission process described in this procedure for relevance to the AR. Document sources may include, but are not limited to historical site documents, DOE, RFFO, EPA, CDPHE, and subcontractors.

Prepare AR document review lists for approval by OU Managers or designated ERPD personnel.

Prepare the AR document review lists for approval by the DOE, RFFO.

Ensure that all documents approved for the AR files meet AR quality criteria before being added to the AR files. "Best available copy" documents may be added to the AR files with appropriate notices.

Ensure that documents approved for the AR files are abstracted, indexed, and entered into the AR database.

6. INSTRUCTIONS

6.1 Designation of Responsible Parties

ERP Operations Managers

- [1] Assign personnel who will be responsible for identifying potential AR documents.

All OUs/projects requiring AR support shall be represented by a designated person responsible for the submission of potential AR documents. There may be more than one person designated for each OU/project, and alternately, one person may be designated for multiple OUs/projects.

- [2] Notify the AR Coordinator of each OU Manager or designated personnel who will be responsible for the submission of potential AR documents and which OUs/projects they will be responsible for.

- [3] Notify the AR Coordinator of any changes in personnel responsible for the submission of potential AR documents.

6.2 Selection of Potential AR Documents

ERP Director/OU Manager or Designated Personnel

- [1] Documents shall be selected for the AR files based on the general guidance provided in Appendix 1 and the examples provided in Appendix 2.
- [2] **IF** there is any question whether a document is appropriate to submit to the AR file, **THEN** the document should be submitted and the final decision on inclusion will be made by the DOE, RFFO.

6.3 Identifying Selected Documents as Appropriate for the AR

ERP Director

- [1] Obtain cover sheet(s) from the AR coordinator.
- [2] Attach a cover sheet to each document or group of documents which have been selected for submission to the AR.
- [3] Complete the cover sheet with the following:
- Date completed
 - Initials
 - Number of documents (if more than one are attached)
 - Notes (if required)
- [4] Copy the AR on all self-generated correspondence which is to be submitted to the AR as follows: "Administrative Record (2)". One copy will be provided to the PFC. The cover sheet described in Step [2] will also be attached to the correspondence.

6.3 **Identifying Selected Documents as Appropriate for the AR (continued)**

ERP Administrative Record Specialists

- 95-DMR-000322
- [5] Perform a review on a minimum of five percent of the program documents received in the PFC.
 - [6] Identify documents that are appropriate for the AR which have not been submitted through the process outlined in this procedure.
 - [7] Notify the responsible OU Manager or designated person of all AR-relevant documents received by the PFC that had not been identified for inclusion into the AR.

6.4 **Transmittal of Selected Documents to AR Program**

ERP Director/OU Manager or Designated Personnel

- [1] Transmit two copies of all documents selected for the AR to the appropriate ERPD OU Records Coordinator.

One copy will be placed in the PFC and one copy will be delivered to the AR program.

- [2] Ensure that the documents include all attachments or enclosures.
- [3] **IF** there are any exceptions,
THEN add a note on the AR cover sheet.

ERP OU Record Coordinators

- [4] Receive copies of documents identified for submission to the AR.
- [5] Ensure that all document(s) submitted for the AR are accompanied by a completed cover sheet.
- [6] Ensure all document submissions to the AR are complete by performing the following:
 - Include all attachments or enclosures
 - Include two copies of each document
- [7] Resolve all document deficiencies with the OU Manager or designated person submitting the documents.
- [8] Transmit both copies of each document selected for the AR and the attached cover sheet to the PFC.

6.3 Identifying Selected Documents as Appropriate for the AR (continued)

ERP Administrative Record Specialists

- [5] Perform a review on a minimum of five percent of the program documents received in the PFC.
- [6] Identify all documents that are appropriate for the AR which have not been submitted through the process outlined in this procedure.
- [7] Notify the responsible OU Manager or designated person of all AR-relevant documents received by the PFC that had not been identified for inclusion into the AR.

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ERP Director/OU Manager or Designated Personnel

- [1] Transmit two copies of all documents selected for the AR to the appropriate ERPD OU Records Coordinator.

One copy will be placed in the PFC and one copy will be delivered to the AR program.

- [2] Ensure that the documents include all attachments or enclosures.
- [3] **IF** there are any exceptions,
THEN add a note on the AR cover sheet.

ERP OU Record Coordinators

- [4] Receive copies of documents identified for submission to the AR.
- [5] Ensure that all document(s) submitted for the AR are accompanied by a completed cover sheet.
- [6] Ensure all document submissions to the AR are complete by performing the following:
 - Include all attachments or enclosures
 - Include two copies of each document
- [7] Resolve all document deficiencies with the OU Manager or designated person submitting the documents.
- [8] Transmit both copies of each document selected for the AR and the attached cover sheet to the PFC.

6.4 Transmittal of Selected Documents to AR Program (continued)

ERPD Administrative Record Coordinator

- [9] **IF** documents to be submitted to the AR by authorized DOE, RFFO personnel are received,
 THEN transmit two copies of documents submitted by the DOE, RFFO to the PFC, accompanied by a completed AR cover sheet.

ERPD Project File Center Personnel

- [10] Ensure that both copies of each document selected for the AR are received.

NOTE 1: *The acceptance criteria of each record must be met for the document to be accepted by the PFC.*

NOTE 2: *The PFC will process the document before being transmitted to the AR program.*

- [11] Ensure that the document(s) meet record acceptance criteria in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal.
- [12] **IF** any documents do **NOT** meet the acceptance criteria,
 THEN complete a deficiency form and submit one copy to the AR coordinator.
- [13] Bar code each pair of documents with identical bar code numbers that are submitted to the AR.
- [14] Transmit one copy of each bar coded document selected for the AR and the attached cover sheet to the ERPD Administrative Record Specialists.

ERPD Administrative Record Specialists

- [15] Receive bar coded documents submitted to the AR and the accompanying cover sheet.
- [16] Edit the PFC database to indicate what documents have been received for the AR.
- [17] Add the AR document number to the appropriate record(s) in the PFC database.

6.5 Records Capture by AR Staff - Internal and External Records

ERPD Administrative Records Coordinator

- [1] Identify potential sources for necessary AR documents outside the scope of this procedure and schedule document reviews by AR staff. Potential sources include, but are not limited to:
- EPA (Public document centers)
 - CDPHE (Public document centers)
 - DOE, RFFO
 - Subcontractors

6.5 Records Capture by AR Staff - Internal and External Records (continued)

- [2] Identify needed historical document capture, identify sources, and schedule reviews.

Review of document source external to EG&G Rocky Flats will be arranged following the appropriate chain of command.

- [3] Modify extent of review of PFC documents based on results of ERPD Administrative Record Specialists PFC review results.

ERP Administrative Record Specialists

- [4] Review potential AR documents at external records sources as assigned.
- [5] Review potential historical AR documents as assigned.
- [6] Perform a review on a minimum of five percent of documents received in the PFC.
- [7] Identify documents thought to be appropriate for the AR which have not been submitted through the process outlined in this procedure.
- [8] Transmit two copies of the selected document to the PFC.

6.6 AR Document Review Lists

ERP Administrative Record Specialists

- [1] Generate review listings of potential AR documents for transmittal to OU Managers or designated personnel.

ERP Administrative Record Coordinator

- [2] Transmit review listings of potential AR documents to OU Managers or designated personnel.

Review listings will be generated and transmitted on an as-needed basis.

ERP OU Manager or Designated Personnel

- [3] Review listings of potential AR documents generated and transmitted by the AR staff.
- [4] Indicate for each document listed whether documents should be included in the AR files.

This review provides an opinion only, the final determination is made by the DOE, RFFO.

- [5] Return the completed review listing to the AR staff by the date indicated on the transmittal.

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6.5 Records Capture by AR Staff - Internal and External Records (continued)

- [2] Identify needed historical document capture, identify sources, and schedule reviews.

Review of document source external to EG&G Rocky Flats will be arranged following the appropriate chain of command.

- [3] Modify extent of review of PFC documents based on results of ERPD Administrative Record Specialists PFC review results.

ERP Administrative Record Specialists

- [4] Review potential AR documents at external records sources as assigned.
- [5] Review potential historical AR documents as assigned.
- [6] Perform a review on a minimum of five percent of documents received in the PFC.
- [7] Identify all documents thought to be appropriate for the AR which have not been submitted through the process outlined in this procedure.
- [8] Transmit two copies of the selected document to the PFC.

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- [2] Transmit review listings of potential AR documents to OU Managers or designated personnel.

Review listings will be generated and transmitted on an as-needed basis.

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- [3] Review listings of potential AR documents generated and transmitted by the AR staff.
- [4] Indicate for each document listed whether documents should be included in the AR files.

This review provides an opinion only, the final determination is made by the DOE, RFFO.

- [5] Return the completed review listing to the AR staff by the date indicated on the transmittal.

6.6 AR Document Review Lists (continued)

ERPD Administrative Record Specialists

- [6] Record the opinions marked for each document on review lists completed by OU Managers or designated personnel.
- [7] Generate review listings of potential AR documents for transmittal to the DOE, RFFO.

Each document listed will indicate the opinion provided during the contractor review, or whether the document was submitted by the contractor.

ERPD Administrative Record Coordinator

NOTE: *Review listings will generally be transmitted to the DOE, RFFO on a biweekly basis. The frequency of requiring DOE, RFFO review is subject to change based upon public participation actions.*

- [8] Transmit review listings of potential AR documents to the DOE, RFFO.
- [9] **IF** there are differences between the contractor and the DOE, RFFO on the determination of whether documents should be added to the AR files,
THEN notify DOE, RFFO AR counterpart as required regarding document determination which would adversely affect the integrity of the AR.

The appropriate ERPD OU Manager or designated individuals will be contacted when substantive issues arise in the process of DOE, RFFO review.

ERPD Administrative Record Specialists

- [10] Record the determinations of the DOE, RFFO on whether the documents listed are to be added to the AR files.
- [11] Process DOE, RFFO-approved documents for the AR files.

6.7 Routine AR Document Types

ERPD Administrative Record Coordinator

- [1] Generate and update a listing of Site document types that are clearly appropriate for inclusion into an Administrative Record.
- [2] Submit Routine Document Type list and all subsequent updates to the DOE, RFFO for approval.

ERPD Administrative Record Specialists

- [3] Process documents that fall under the criteria of the Routine Document for the AR files.

6.8 Review of AR Files Using the AR Index

ERPD OU Manager or Designated Personnel

- [1] Review the index for the AR file(s) for which they are responsible on an as-needed basis.

Frequency of review should be based on initial determination of contents, level of activity for the OU/project, and any upcoming public comment periods or public hearings.

ERPD Administrative Record Coordinator

- [2] Provide convenient access to the AR index as requested.

6.9 Site Technical Administrative Record Review (STARR) Meetings

ERPD OU Manager or Designated Personnel and Administrative Record Coordinator

- [1] Participate in the review of the AR for completeness at least two months before the signing of response action decision document (such as the ROD).

The timing of the review may be modified to a later date for accelerated response actions.

7. RECORDS

Management of all records is consistent with 1-77000-RM-001, Records Management Guidance for Record Sources.

ERPD Records Source/ERPD Manager

- [1] Ensure that the original and one copy of the following quality-related records, as appropriate, are transmitted to the ERPD Project File Center in accordance with 2-G18-ER-ADM-17.01, Records Capture and Transmittal:
- Records Transmittal Form
 - Records Package Table of Contents Form
 - Documentation of Lost or Damaged Records
 - Documentation of Best Copy Available
 - Documentation of Authenticity

Submission of record copies to the ERPD PFC satisfies Administrative Records requirements, as defined within this procedure.

There are no nonquality records generated by this procedure.

8. REFERENCES

Executive Order No. 12,580, 3 C.F.R. 193 (1987) reprinted in 42 U.S.C. § 9615 (1988 & Supp. 1993), Superfund Implementation

Federal Facility Agreement and Consent Order, CERCLA-VIII-91-03, RCRA (3008(h))-VIII-91-07, State of Colorado Docket #91-01-22-01, January 22, 1991 (Rocky Flats Interagency Agreement)

OWSER Directive 9833A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions. U.S. Environmental Protection Agency, Office of Solid Waste and Emergency Response, December 1990

OSWER Directive 9230.0-03C, Community Relations in Superfund: A Handbook. U.S. Environmental Protection Agency, Office of Solid Waste and Emergency Response, January 1992

Rocky Flats Plant Policy 1-27, Administrative Record

1-F78-ER-ARP.001, CERCLA Administrative Record Program

2-G18-ER-ADM-17.01, Records Capture and Transmittal

40 C.F.R. §§ 300.800-.825 (1993), Administrative Record for the Selection of a Response Action

42 U.S.C. §§ 9613 (j)-(k) (1988 & Supp. 1993), Civil Proceedings - Administrative Record

8. REFERENCES

Executive Order No. 12,580, 3 C.F.R. 193 (1987) reprinted in 42 U.S.C. § 9615 (1988 & Supp. 1993), Superfund Implementation

Federal Facility Agreement and Consent Order, CERCLA-VIII-91-03, RCRA (3008(h))-VIII-91-07, State of Colorado Docket #91-01-22-01, January 22, 1991 (Rocky Flats Interagency Agreement)

Directive 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions. U.S. Environmental Protection Agency, Office of Solid Waste and Emergency Response, December 1990

OSWER Directive 9230.0-03C, Community Relations in Superfund: A Handbook. U.S. Environmental Protection Agency, Office of Solid Waste and Emergency Response, January 1992

Rocky Flats Plant Policy 1-27, Administrative Record

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2-G18-ER-ADM-17.01, Records Capture and Transmittal

40 C.F.R. §§ 300.800-.825 (1993), Administrative Record for the Selection of a Response Action

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APPENDIX 1

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ADMINISTRATIVE RECORD DOCUMENT IDENTIFICATION

In assessing the relevance of a document to the AR, there are two basic questions: 1) Could the document be used or relied upon in deciding how to clean up an IHSS, OU, or Site?; and 2) Will the document be used to inform or involve the public in the clean up of OUs at Rocky Flats? A document does not need to be specific to an OU to be considered for its remediation. An example would be a document outlining procedures for protecting endangered species at Rocky Flats. While this does not address itself to any particular OU, all proposals for remediation would have to take the endangered species procedure into consideration.

Much of the documentation such as validated sampling data, treatability studies, or sampling plans is clearly relevant. Most of the documentation is not straightforward. For example, when is a budget decision strictly administrative and when does it influence the selection of the response action? Memoranda may provide concrete direction or may simply be an airing of ideas. What the courts are looking for in the AR is evidence that the decision in selecting a response action was not arbitrary and capricious, but on the best available information.

Below are some specific types of documents that would be included in the AR followed by a section on documents generally excluded.

In accordance with 40 CFR 300.810, the AR for the selection of a response action may contain the following types of documents.

1. Documents containing factual information and data and analysis of the factual information and data that form a basis for the selection of a response action, are as follows:
 - Comprehensive Environmental Analysis and Response Program (CEARP) reports
 - Remedial Investigation/Feasibility Study (RI/FS) Work Plan
 - Amendments to the Final Work Plan
 - Sampling and Analysis Plan (SAP), consisting of a Quality Assurance Project Plan (QAPjP) and Field Sampling Plan
 - Validated and verified sampling and analysis data
 - Chain of Custody forms
 - Site inspection evaluation reports
 - Data summary sheets
 - Technical and engineering evaluations performed for the site
 - OU-specific health and safety plans
 - Documents supporting the lead agency's determination of imminent and substantial endangered assessment
 - Documentation of applicable or relevant and appropriate requirements
 - RI/FS report
 - Remedial Investigations/RCRA Facility Investigations (RFI/RIIs)
 - RFI/RI Technical Memorandums
 - Data submitted by the public, including potentially responsible parties (PRPs)

APPENDIX 1

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2. Documents received, published, or made available to the public for remedial actions or removal plans, such as:
 - Community Relations Plan
 - Proposed Plan
 - Public notices of AR availability and public comment periods
 - Documentation of public meetings
 - Transcripts of public meetings
 - Responses to public comments
 - Responses to comments from state or federal agencies
3. Other information such as:
 - Documentation of state involvement
 - Health assessments
 - Risk assessments
 - Natural Resource Trustee notices and responses, findings of fact, final reports and natural resource damage assessments
 - Decision documents rising from dispute resolutions
4. Decision documents such as:
 - Interim Measure/Interim Remedial Action (IM/IRA)
 - Corrective Action Decision/Record of Decision (COD/RODs), including responsiveness summary
 - Explanations of significant differences
 - Amended RODs and underlying information
5. For CERCLA sites with a history of RCRA activity, any relevant RCRA information that may be considered or relied on in selecting the CERCLA response action.

APPENDIX 2
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**DOCUMENT TYPES FOR ROUTINE INCLUSION INTO
THE ADMINISTRATIVE RECORD**

FACTUAL INFORMATION

1. Preliminary Assessment (PA) Report (or equivalent)
2. Site Investigation (SI) Report
3. Remedial Investigation/Feasibility Study (RI/FS) Work Plan
4. Amendments to the Final Work Plan
5. RI/FS Report
6. RCRA Permit Application (Part A and Part B)
7. RCRA Facility Assessment Report
8. RCRA Facility Investigation/Corrective Measures (RFI/CMS) Study Work Plan
9. RFI/CMS Report
10. RFI/RI
11. Quality Assurance Project Plan (QAPjP)
12. Operating Unit (OU) Work Plans and Standard Operating Procedures (SOPs)
13. Baseline Risk Assessment Technical Memoranda
14. OU/Action Specific Health and Safety Plans
15. Sampling and Analysis Plans
16. Interim Measure/Interim Remedial Action Treatability Studies
17. Historical Release Report (HRR)
18. Data Summary Sheets

PUBLIC PARTICIPATION

1. Community Relations Plan
2. Newspaper articles showing general community awareness
3. Transcripts of formal public hearings
4. Documentation of informal public meetings
5. Public notices concerning response action selection, such as notices of availability of information, notices of meetings, and notices of opportunities to comment
6. Public comment
7. Responses to significant comments received from the public concerning the selection of a response action

REGULATORY AGENCY INVOLVEMENT

1. Draft submitted by DOE, RFFO to the regulatory agencies for review
2. Comments from a regulatory agency to DOE, RFFO (directly or through EG&G)
3. DOE, RFFO response to comment received from regulatory agency

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**DOCUMENT TYPES FOR ROUTINE INCLUSION INTO
THE ADMINISTRATIVE RECORD**

FACTUAL INFORMATION

1. Preliminary Assessment (PA) Report (or equivalent)
2. Site Investigation (SI) Report
3. Remedial Investigation/Feasibility Study (RI/FS) Work Plan
4. Amendments to the Final Work Plan
5. RI/FS Report
6. RCRA Permit Application (Part A and Part B)
7. RCRA Facility Assessment Report
8. RCRA Facility Investigation/Corrective Measures (RFI/CMS) Study Work Plan
9. RFI/CMS Report
10. RFI/RI
11. Quality Assurance Project Plan (QAPjP)
12. Operating Unit (OU) Work Plans and Standard Operating Procedures (SOPs)
13. Baseline Risk Assessment Technical Memoranda
14. OU/Action Specific Health and Safety Plans
15. Sampling and Analysis Plans
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7. Responses to significant comments received from the public concerning the selection of a response action

REGULATORY AGENCY INVOLVEMENT

1. Draft submitted by DOE, RFFO to the regulatory agencies for review
2. Comments from a regulatory agency to DOE, RFFO (directly or through EG&G)
3. DOE, RFFO response to comment received from regulatory agency
4. Notice of violation

APPENDIX 2

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DECISION DOCUMENTS

1. Interim Measure/Interim Remedial Action Plan (IM/IRA) decision documents
2. Record of Decision (ROD)
3. Explanations of significant differences
4. Amended ROD and underlying information

OTHER

1. Proposed Action Memorandum (PAMs)
2. Documents on issues giving rise to decisions from the dispute resolution procedures of Parts 12, 16, and 27 of the Interagency Agreement, and the decision itself
3. Updates and addendums to routine documents and formerly approved documents will also be considered routine

¹ This is specifically called out in Part 44, p232 of the Interagency Agreement

APPENDIX 3

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SAMPLE ADMINISTRATIVE RECORD COVER SHEET

OU 15 DOCUMENTS FOR ADMINISTRATIVE RECORD FILE

TWO COPIES OF THE ATTACHED _____ DOCUMENTS HAVE
BEEN SELECTED FOR POSSIBLE INCLUSION INTO THE AR FILE

Name: John Smith Initial: _____ Date: _____

NOTES: _____

Documents are to be given to your OU Records Coordinator

APPENDIX 4
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AR FLOWCHART

